

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

061165-5001

Total Pages: 91 (including cover page)

First Named Inventor: Waelbroeck et al.

Express Mail No.

EU 618 747 497 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Commissioner for Patents  
P.O. Box 1450  
Mail Stop Patent Application  
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form [Total Pages 2]  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
3. ☒ Specification [Total Pages 70]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description of the Invention (including drawings, if filed)
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Pages 11]
5. ☒ Oath or Declaration [Total Pages 2]
- a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
for continuation/divisional with Box 17 completed)
  - i. ☐ DELETION OF INVENTORS(S)  
Signed statement attached deleting inventor(s) named in the  
prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (inc. cover sheet) [3 pp.]
10. ☒ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee) [2 pp.]
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed).
16. ☐ Nonpublication Request under 35 U.S.C. 122(b)(2)(i).  
Applicant must attach FORM PTO/SB 35 or its  
equivalent
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application no. 10/603,100, filed June 24, 2003, which is a continuation in part of U.S. patent application no. 09/870,845, filed May 31, 2001, which is a continuation-in-part of U.S. patent application no. 09/750,768, filed December 29, 2000, which is a continuation-in-part of U.S. patent application no. 09/585,049, filed June 1, 2000.

For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☒ Customer Number: 09629

Name (Print/Type)

Steven Underwood

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Signature

Steven D. Underwood

Date:

March 11, 2004

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Attorney Docket No.: 061165-5001

Date: March 11, 2004

Mail Stop PATENT APPLICATION  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Sir:

The following utility patent application is enclosed for filing:

Applicants(s): Waelbroeck et al.

Executed on: March 5 and 8, 2004

Title of Invention: Block Trading System and Method Providing Price Improvement to Aggressive Orders

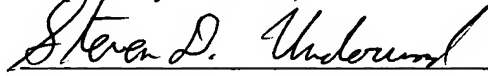
**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	23	-20	3	\$18.00 each	\$ 54.00
Independent	3	-3	0	\$86.00 each	\$
			Minimum Fee		\$ 770.00
Multiple Dependency Fee If applicable (\$290)					
<b>Total</b>					\$ 824.00
50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern					- \$
<b>Total Filing Fee</b>					\$ 824.00

- ☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
- ☐ Priority of application no. filed on is claimed under 35 U.S.C. § 119.
- ☐ The certified copy of the priority application has been filed in application no. filed

Please charge the required fee to Morgan, Lewis & Bockius LLP Deposit Account No. 50-0310. A copy of this sheet is enclosed.

Respectfully submitted,

  
 Steven D. Underwood (Reg. No.) 47,205